



Attorney Docket No. CF/046

Applicant : Andrew C. Gilbert  
Application No. : 10/042,371 Confirmation No.: 6761  
Filed : December 27, 2001  
For : SYSTEMS AND METHODS FOR CREATING AND  
TRADING DYNAMIC SECURITIES  
Group Art Unit : 3624

Hon. Commissioner for Patents  
P.O. Box 2327  
Arlington, VA 22202

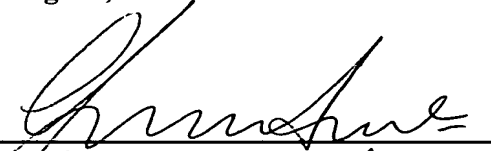
New York, New York 10020  
March 27, 2003

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GROUP 3600

"Express Mail" mailing label number EV133103575US

Date of Deposit March 27, 2003

I hereby certify that this paper/fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Hon. Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202.

  
\_\_\_\_\_  
Andrew C. Gilbert - New York, New York

**Encl:**

- Information Disclosure Statement (2 pp.);
- Form PTO-1449 (1 p. - in duplicate); and
- A Copy Of One (1) Cited Reference.



#17 8/14/03 @w

PATENTS  
CF-46

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

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New York, New York 10020  
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Hon. Commissioner for Patents  
P.O. Box 2327  
Arlington, Virginia 22202

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicant hereby makes the following document of record in the above-identified patent application:

Foreign Patent Document

WO 01/33316 A2 PCT (05/10/01)

A copy of the aforementioned document, which is listed on the accompanying Form PTO-1449 (submitted in duplicate), is enclosed herewith.

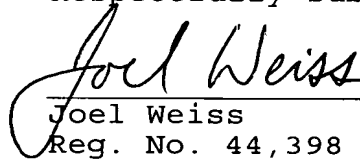
It is respectfully requested that this document be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application. Applicant

requests that a copy of Form PTO-1449, as considered and initialled by the Examiner, be returned with the next communication.

Because this Supplemental Information Disclosure Statement is being filed within three months of the application filing date, no fee is believed due pursuant to 37 C.F.R. § 1.97(b)(1). However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

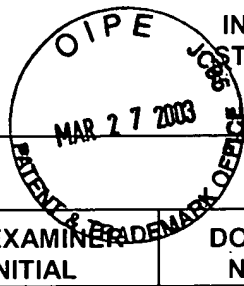
An early and favorable action is respectfully requested.

Respectfully submitted,



Joel Weiss  
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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
CF-46APPLICATION NO.  
10/042,371APPLICANTS  
Andrew C. GilbertCONFIRMATION NO.  
6761FILING DATE  
December 27, 2001CLASS  
3624INFORMATION DISCLOSURE  
STATEMENT BY APPLICANTS**RECEIVED**  
APR 01 2003  
**GROUP 3600**

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE | NAME | CLASS | SUBCLASS | AGING DATE<br>IF APPROPRIATE |
|---------------------|--------------------|------|------|-------|----------|------------------------------|
|                     |                    |      |      |       |          |                              |
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|                     |                    |      |      |       |          |                              |
|                     |                    |      |      |       |          |                              |

## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE     | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|---------------------|--------------------|----------|---------|-------|----------|-------------|----|
|                     |                    |          |         |       |          | YES         | NO |
|                     | WO 01/33316 A2     | 05/10/01 | PCT     | G06F  |          |             |    |
|                     |                    |          |         |       |          |             |    |
|                     |                    |          |         |       |          |             |    |
|                     |                    |          |         |       |          |             |    |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

| EXAMINER<br>INITIAL |  |
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EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.